

# **EXHIBIT C**

-----Original Message-----

**From:** Mermelstein, Rebecca (USANYS) [[Rebecca.Mermelstein@usdoj.gov](mailto:Rebecca.Mermelstein@usdoj.gov)]

**Sent:** Thursday, January 25, 2018 10:31 AM Eastern Standard Time

**To:** Matthew L. Schwartz; Paula J. Notari; David Touger; gmorvillo@orrick.com; Michael Tremonte

**Cc:** Tekeei, Negar (USANYS); Quigley, Brendan (USANYS)

**Subject:** US v. Galanis et al: Entities Referenced in Indictment

Counsel,

As you know, Mr. Archer has asked that the Government identify the various entities anonymized in the Indictment. Although we believe the entities' identities are apparent in the complaint and in discovery, for your convenience we have identified them below.

Best,

Rebecca

Description in Indictment	Paragraph #	Identity
Morton Corporation	2	GMT Duncan
Certain of the clients of the Investment Advisors	5	OSERS (through GYOF) Birmingham Water Works Board Chicago Transit Authority Retiree Health Care Trust Management – ILA Managed Health Care Trust Fund Michelin North America Pension Trust for the Milk Drivers and Dairy Employees Local Union No. 246 Philadelphia Housing Authority Richmond Retirement Terrapin Insurance Company

		Washington Suburban Sanitary Commission Employee's Retirement Plan
The Annuity Provider	7	Wealth Assurance Private Client Corp
The Dunkerley Account	7	Wealth Assurance Private Client Corp bank account opened on August 6, 2014 in Florida
Investment Manager	8	Private Equity Management
Placement Agent	9	Burnham Securities Inc.
Affiliates of the Placement Agent	10	The BIT Board
Entity that Jason Galanis arranged to provide financing for Morton's purchase of the Investment Advisor	12	BFG Socially Responsible Investments
Entity that invested in both investment advisors	15	BFG Socially Responsible Investments
Jason Galanis Account	17	Account in the name of Thorsdale Fiduciary
Entity controlled by Gary Hirst and Hugh Dunkerley	20	Rosemary & Rue
Intermediary		The Wolff Law Firm
Entity controlled by Mr. Archer	21(a)	Rosemont Seneca Bohai
Brokerage Firm	(21(a))	Rosemont Seneca Bohai account at Morgan Stanley